

07/06/01

J1041 U.S. PTO

07-09-01

A

Please type a plus sign (+) inside this box →

+

PTO/SB/05 (11-00)  
Approved for use through 10/31/2002. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 96790P370

First Inventor or Application Identifier Sashiro Uemura

Title FLAT DISPLAY AND METHOD OF MOUNTING FIELD EMISSION TYPE...

Express Mail Label No. EL651891360US

**APPLICATION ELEMENTS**  
See MPEP chapter 600 concerning utility patent application contentsADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g. PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification *Total Pages* **24**  
(preferred arrangement set forth below)
- Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) *Total Sheets* **3**
5. Oath or Declaration *Total Pages* **3**
- a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
  - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76.

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Form (CFR)
  - b. ☐ Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ Paper
  - c. ☐ Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO - 1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 USC 122(b)(2)(B)(i).  
Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: priority request; formal drawings . . . .  
transmittal . . . . .

**18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:**☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. \_\_\_\_\_/\_\_\_\_\_

Prior application Information: Examiner \_\_\_\_\_

Group/Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**17. CORRESPONDENCE ADDRESS**☒ Customer Number of Bar Code Label

\*08791\*

or ☐ Correspondence address below

Name	BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP				
Address	12400 Wilshire Boulevard, Seventh Floor				
City	Los Angeles	State	California	Zip Code	90025
Country	U.S.A.	Telephone	(310) 207-3800	Fax	(310) 820-5988

Name (Print/Type) Eric S. Hyman, Reg. No. 30,139

Signature

Date

7/6/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

<h1 style="margin: 0;">FEE TRANSMITTAL</h1> <h2 style="margin: 0;">for FY 2001</h2> <p style="font-size: small; margin: 0;">Patent fees are subject to annual revision.</p>		<b>Complete if Known</b>	
<b>TOTAL AMOUNT OF PAYMENT</b> (\$)		750.00	
Application Number		Filing Date	
First Named Inventor		Sashiro Uemura, et al.	
Examiner Name		Group Art Unit	
Attorney Docket Number		96790P370	

METHOD OF PAYMENT (check one)	FEE CALCULATION (continued)																																																																																																																																																																																									
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:</p> <p>Deposit Account Number: <span style="border: 1px solid black; padding: 2px 20px;">02-2666</span></p> <p>Deposit Account Name: <span style="border: 1px solid black; padding: 2px 50px;">Blakely, Sokoloff, Taylor &amp; Zafman LLP</span></p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37CFR 1.16 and 1.17</p> <p><input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p> <p>2. <input checked="" type="checkbox"/> Payment Enclosed:</p> <p><input checked="" type="checkbox"/> Check    <input type="checkbox"/> Money Order    <input type="checkbox"/> Other</p>	<p>3. <b>ADDITIONAL FEE</b></p> <table style="width: 100%; font-size: small;"> <thead> <tr> <th>Large Fee Code</th> <th>Entity (\$)</th> <th>Small Fee Code</th> <th>Entity (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet.</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for <i>ex parte</i> reexamination</td><td></td></tr> <tr><td>112</td><td>920</td><td>112</td><td>920</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840</td><td>113</td><td>1,840</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for response within first month</td><td></td></tr> <tr><td>116</td><td>390</td><td>216</td><td>195</td><td>Extension for response within second month</td><td></td></tr> <tr><td>117</td><td>890</td><td>217</td><td>445</td><td>Extension for response within third month</td><td></td></tr> <tr><td>118</td><td>1,390</td><td>218</td><td>695</td><td>Extension for response within fourth month</td><td></td></tr> <tr><td>128</td><td>1,890</td><td>228</td><td>945</td><td>Extension for response within fifth month</td><td></td></tr> <tr><td>119</td><td>310</td><td>219</td><td>155</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>310</td><td>220</td><td>155</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>270</td><td>221</td><td>135</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - unavoidably</td><td></td></tr> <tr><td>141</td><td>1,240</td><td>241</td><td>620</td><td>Petition to revive - unintentionally</td><td></td></tr> <tr><td>142</td><td>1,240</td><td>242</td><td>620</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>440</td><td>243</td><td>220</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>600</td><td>244</td><td>300</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126</td><td>180</td><td>126</td><td>180</td><td>Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td>40</td></tr> <tr><td>146</td><td>710</td><td>246</td><td>355</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr> <tr><td>149</td><td>710</td><td>249</td><td>355</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr> <tr><td>179</td><td>710</td><td>279</td><td>355</td><td>Request for Continued Examination (RCE)</td><td></td></tr> <tr><td>169</td><td>900</td><td>169</td><td>900</td><td>Request for expedited examination of a design application</td><td></td></tr> <tr><td colspan="5">Other fee (specify) _____</td><td></td></tr> <tr> <td colspan="5" style="text-align: right;"> <b>SUBTOTAL (3)</b> (\$) <span style="border: 1px solid black; padding: 0 20px;">40.00</span> </td> </tr> </tbody> </table>	Large Fee Code	Entity (\$)	Small Fee Code	Entity (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - late filing fee or oath		127	50	227	25	Surcharge - late provisional filing fee or cover sheet.		139	130	139	130	Non-English specification		147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination		112	920	112	920	Requesting publication of SIR prior to Examiner action		113	1,840	113	1,840	Requesting publication of SIR after Examiner action		115	110	215	55	Extension for response within first month		116	390	216	195	Extension for response within second month		117	890	217	445	Extension for response within third month		118	1,390	218	695	Extension for response within fourth month		128	1,890	228	945	Extension for response within fifth month		119	310	219	155	Notice of Appeal		120	310	220	155	Filing a brief in support of an appeal		121	270	221	135	Request for oral hearing		138	1,510	138	1,510	Petition to institute a public use proceeding		140	110	240	55	Petition to revive - unavoidably		141	1,240	241	620	Petition to revive - unintentionally		142	1,240	242	620	Utility issue fee (or reissue)		143	440	243	220	Design issue fee		144	600	244	300	Plant issue fee		122	130	122	130	Petitions to the Commissioner		123	50	123	50	Petitions related to provisional applications		126	180	126	180	Submission of Information Disclosure Stmt		581	40	581	40	Recording each patent assignment per property (times number of properties)	40	146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))		149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))		179	710	279	355	Request for Continued Examination (RCE)		169	900	169	900	Request for expedited examination of a design application		Other fee (specify) _____						<b>SUBTOTAL (3)</b> (\$) <span style="border: 1px solid black; padding: 0 20px;">40.00</span>				
Large Fee Code	Entity (\$)	Small Fee Code	Entity (\$)	Fee Description	Fee Paid																																																																																																																																																																																					
105	130	205	65	Surcharge - late filing fee or oath																																																																																																																																																																																						
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.																																																																																																																																																																																						
139	130	139	130	Non-English specification																																																																																																																																																																																						
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination																																																																																																																																																																																						
112	920	112	920	Requesting publication of SIR prior to Examiner action																																																																																																																																																																																						
113	1,840	113	1,840	Requesting publication of SIR after Examiner action																																																																																																																																																																																						
115	110	215	55	Extension for response within first month																																																																																																																																																																																						
116	390	216	195	Extension for response within second month																																																																																																																																																																																						
117	890	217	445	Extension for response within third month																																																																																																																																																																																						
118	1,390	218	695	Extension for response within fourth month																																																																																																																																																																																						
128	1,890	228	945	Extension for response within fifth month																																																																																																																																																																																						
119	310	219	155	Notice of Appeal																																																																																																																																																																																						
120	310	220	155	Filing a brief in support of an appeal																																																																																																																																																																																						
121	270	221	135	Request for oral hearing																																																																																																																																																																																						
138	1,510	138	1,510	Petition to institute a public use proceeding																																																																																																																																																																																						
140	110	240	55	Petition to revive - unavoidably																																																																																																																																																																																						
141	1,240	241	620	Petition to revive - unintentionally																																																																																																																																																																																						
142	1,240	242	620	Utility issue fee (or reissue)																																																																																																																																																																																						
143	440	243	220	Design issue fee																																																																																																																																																																																						
144	600	244	300	Plant issue fee																																																																																																																																																																																						
122	130	122	130	Petitions to the Commissioner																																																																																																																																																																																						
123	50	123	50	Petitions related to provisional applications																																																																																																																																																																																						
126	180	126	180	Submission of Information Disclosure Stmt																																																																																																																																																																																						
581	40	581	40	Recording each patent assignment per property (times number of properties)	40																																																																																																																																																																																					
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))																																																																																																																																																																																						
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))																																																																																																																																																																																						
179	710	279	355	Request for Continued Examination (RCE)																																																																																																																																																																																						
169	900	169	900	Request for expedited examination of a design application																																																																																																																																																																																						
Other fee (specify) _____																																																																																																																																																																																										
<b>SUBTOTAL (3)</b> (\$) <span style="border: 1px solid black; padding: 0 20px;">40.00</span>																																																																																																																																																																																										
<p><b>1. FILING FEE</b></p> <table style="width: 100%; font-size: small;"> <thead> <tr> <th>Large Fee Code</th> <th>Entity (\$)</th> <th>Small Fee Code</th> <th>Entity (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>101</td><td>710</td><td>201</td><td>355</td><td>Utility filing fee</td><td>\$710</td></tr> <tr><td>106</td><td>320</td><td>206</td><td>160</td><td>Design filing fee</td><td></td></tr> <tr><td>107</td><td>490</td><td>207</td><td>245</td><td>Plant filing fee</td><td></td></tr> <tr><td>108</td><td>710</td><td>208</td><td>355</td><td>Reissue filing fee</td><td></td></tr> <tr><td>114</td><td>150</td><td>214</td><td>75</td><td>Provisional filing fee</td><td></td></tr> <tr><td colspan="5" style="text-align: right;"><b>SUBTOTAL (1)</b></td><td>(\$) <span style="border: 1px solid black; padding: 0 20px;">710.00</span></td></tr> </tbody> </table> <p><b>2. EXTRA CLAIM FEES</b></p> <table style="width: 100%; font-size: small;"> <thead> <tr> <th>Total Claims</th> <th>Extra Claims</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>10</td> <td>-20** = 0</td> <td>X \$18.00 =</td> <td>0.00</td> </tr> <tr> <td>2</td> <td>-3** = 0</td> <td>X \$80.00 =</td> <td>0.00</td> </tr> <tr> <td colspan="4">Multiple Dependent</td> </tr> </tbody> </table> <table style="width: 100%; font-size: small;"> <thead> <tr> <th>Large Fee Code</th> <th>Entity (\$)</th> <th>Small Fee Code</th> <th>Entity (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>103</td><td>18</td><td>203</td><td>9</td><td>Claims in excess of 20</td><td></td></tr> <tr><td>102</td><td>80</td><td>202</td><td>40</td><td>Independent claims in excess of 3</td><td></td></tr> <tr><td>104</td><td>270</td><td>204</td><td>135</td><td>Multiple Dependent claim</td><td></td></tr> <tr><td>109</td><td>80</td><td>209</td><td>40</td><td>**Reissue independent claims over original patent</td><td></td></tr> <tr><td>110</td><td>18</td><td>210</td><td>9</td><td>**Reissue claims in excess of 20 and over original patent</td><td></td></tr> <tr><td colspan="5" style="text-align: right;"><b>SUBTOTAL (2)</b></td><td>(\$) <span style="border: 1px solid black; padding: 0 20px;">0.00</span></td></tr> </tbody> </table> <p style="font-size: x-small;">**or number of previously paid, if greater. For Reissues, see above</p>	Large Fee Code	Entity (\$)	Small Fee Code	Entity (\$)	Fee Description	Fee Paid	101	710	201	355	Utility filing fee	\$710	106	320	206	160	Design filing fee		107	490	207	245	Plant filing fee		108	710	208	355	Reissue filing fee		114	150	214	75	Provisional filing fee		<b>SUBTOTAL (1)</b>					(\$) <span style="border: 1px solid black; padding: 0 20px;">710.00</span>	Total Claims	Extra Claims	Fee from below	Fee Paid	10	-20** = 0	X \$18.00 =	0.00	2	-3** = 0	X \$80.00 =	0.00	Multiple Dependent				Large Fee Code	Entity (\$)	Small Fee Code	Entity (\$)	Fee Description	Fee Paid	103	18	203	9	Claims in excess of 20		102	80	202	40	Independent claims in excess of 3		104	270	204	135	Multiple Dependent claim		109	80	209	40	**Reissue independent claims over original patent		110	18	210	9	**Reissue claims in excess of 20 and over original patent		<b>SUBTOTAL (2)</b>					(\$) <span style="border: 1px solid black; padding: 0 20px;">0.00</span>																																																																																						
Large Fee Code	Entity (\$)	Small Fee Code	Entity (\$)	Fee Description	Fee Paid																																																																																																																																																																																					
101	710	201	355	Utility filing fee	\$710																																																																																																																																																																																					
106	320	206	160	Design filing fee																																																																																																																																																																																						
107	490	207	245	Plant filing fee																																																																																																																																																																																						
108	710	208	355	Reissue filing fee																																																																																																																																																																																						
114	150	214	75	Provisional filing fee																																																																																																																																																																																						
<b>SUBTOTAL (1)</b>					(\$) <span style="border: 1px solid black; padding: 0 20px;">710.00</span>																																																																																																																																																																																					
Total Claims	Extra Claims	Fee from below	Fee Paid																																																																																																																																																																																							
10	-20** = 0	X \$18.00 =	0.00																																																																																																																																																																																							
2	-3** = 0	X \$80.00 =	0.00																																																																																																																																																																																							
Multiple Dependent																																																																																																																																																																																										
Large Fee Code	Entity (\$)	Small Fee Code	Entity (\$)	Fee Description	Fee Paid																																																																																																																																																																																					
103	18	203	9	Claims in excess of 20																																																																																																																																																																																						
102	80	202	40	Independent claims in excess of 3																																																																																																																																																																																						
104	270	204	135	Multiple Dependent claim																																																																																																																																																																																						
109	80	209	40	**Reissue independent claims over original patent																																																																																																																																																																																						
110	18	210	9	**Reissue claims in excess of 20 and over original patent																																																																																																																																																																																						
<b>SUBTOTAL (2)</b>					(\$) <span style="border: 1px solid black; padding: 0 20px;">0.00</span>																																																																																																																																																																																					

SUBMITTED BY			Complete (if applicable)	
Typed or Printed Name	Eric S. Hyman, Reg. No. 30,139		Reg. Number	
Signature		Date	7/2/01	Deposit Account User ID
				02-2666

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

T 0 9 0 0 0 7 8 1 0 7 0 5 0 1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

SASHIRO UEMURA, ET AL.

Application No.:

Filed:

For: **FLAT DISPLAY AND METHOD OF  
MOUNTING FIELD EMISSION TYPE  
ELECTRON - EMITTING SOURCE -  
UTILITY**

Art Group:

Examiner:

Assistant Commissioner for Patents  
Washington, D.C. 20231

**TRANSMITTAL OF FORMAL DRAWINGS**

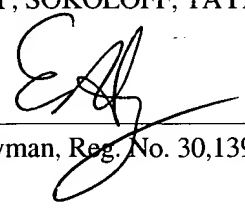
Sir:

Enclosed herewith for filing in the above-identified U.S. Patent Application are the formal drawings, 3 sheets including 6 Figures. Applicant hereby authorizes any additional extension or petition fees under 37 C.F.R. §1.17 or credit for any overpayment to our Deposit Account No. 02-2666. A copy of the Fee Transmittal sheet is enclosed.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN

Dated: 7/18/01

  
Eric S. Hyman, Reg. No. 30,139

12400 Wilshire Blvd., 7th Floor  
Los Angeles, California 90025  
Telephone: (310) 207-3800

09900078-070601  
T09020-82000660



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

SASHIRO UEMURA, ET AL.

For: **FLAT DISPLAY AND METHOD OF  
MOUNTING FIELD EMISSION TYPE  
ELECTRON - EMITTING SOURCE - UTILITY**

Honorable Commissioner of  
Patents and Trademarks  
Washington, D.C. 20231

**Request for Priority**

Sir:

Applicant respectfully requests a convention priority for the above-captioned application, namely Japan application number 206355/2000 filed July 7, 2000.



A certified copy of the document is being submitted herewith.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN

Dated: \_\_\_\_\_

7/6/01

Eric S. Hyman, Reg. No. 30,139

12400 Wilshire Blvd., 7th Floor  
Los Angeles, California 90025  
Telephone: (310) 207-3800